

Share trading through Core Equity Services is a service provided by Australian Investment Exchange Ltd ("The Participant") ABN 71 076 515 930 AFSL 241400, a Participant of the ASX Group.

PLEASE START HERE

- We will activate your new trading account with 5-7 days of receiving your signed application and supporting documentation.
- You will receive email notification from us once your account has been established.
- Please ensure that you have made a note of your Username and Temporary Login Password so that you can access your share trading account as soon as it has been activated. You must make a reasonable attempt to disguise your Username and Temporary Login Password if you write it down – that is scramble the details in such a way that others will not be able to decode it.
- Please read the Terms & Conditions attached to this application form before completing this form.

• Identification:

We're required by law to identify applicants. Applicants who **ARE NOT** existing clients need to supply original certified photocopies of acceptable identification documents.

Proof of identification documents must be in the exact same details provided in this application.

If identification is conducted by an Adviser, a photocopy must be made from the original document and include a statement "This is a true copy of the original document" (or similar wording) and the agents signature. The photocopy must be returned with this application form.

- Please note all fields are **MANDATORY** to complete within each required section unless otherwise specified.

Please return the original application form, fax and email will not be accepted.

APPLICATION INSTRUCTIONS

Applicant Type	Mandatory Sections to complete	Optional Sections	Instructions
Individual Account Name (example): Peter John Brown No Account Designation or Trust	(1, 2, 7, 9)	(8) as applicable	Use full given and last names of individual. Who signs: Individual
Joint Account Name (example): Peter John Brown & Susan Alice Brown No Account Designation or Trust	(1, 2, 3, 7, 9)	(4, 8) as applicable	Use full given and last names of individuals Who signs: All individuals
Company Account Name (example): Bokum Pty Ltd No Account Designation	(1, 2, 3*, 5, 7, 9) *Except if Sole Director/Secretary	(4, 8) as applicable	Use full company name Who signs: At least 2 company officers (2 Directors, or 1 Director and 1 Secretary) or Sole Director/Secretary.
Trust - Individual as Trustee Account Name (example): Peter John Brown & Susan Alice Brown Account Designation: Brown Family A/C	(1, 2, 3, 6, 7, 9)	(4, 8) as applicable	The words "as trustee for" or "trust" should not be used. Use name(s) of trustee(s) or custodian(s) instead of trust name, fund name or name of minor. For Superannuation Fund, "S/F" should be used in place of "Super Fund". Who signs: All trustees
Trust - Company as Trustee Account Name (example): Bokum Pty Ltd Account Designation: Bokum Family A/C	(1, 2, 3*, 5, 6, 7, 9) *Except if Sole Director/Secretary	(4, 8) as applicable	

Documentation Required

All Applicants

- Original certified photocopy of identity documents for new clients
- Copy(s) of your Issuer Sponsored Holding Statements (if applicable)

Foreign Applicants

- Original certified copy of original certificate of registration issued by the foreign registration body (if foreign company not registered with ASIC)

Trusts

- Original certified photocopy of an up-to-date extract of the Trust Deed. Extract should include pages which show the trust name, the trustee's name(s) and; show the trustee's signature(s) with witness signatures (if formal trust)

Minors

- If applying for a minor (under 18 years), please also provide an original certified photocopy of the minor's birth certificate

Share Trading Account Application Form (Adviser)

Which account type would you like to complete this application for?

- Individual Joint Company
 Trust – Individual as trustee Trust – Company as trustee

1. Adviser Details

Adviser Name

Adviser Code

Company Name

Contact Number

Contact Email

Brokerage Code

Client Reference

CHESSE Registration Address

Please select one of the following for use as the CHESSE registration address on this account:

- Applicant 1/Director 1/Trustee 1 Postal Address
 Company Postal Address
 Trust Postal Address
 Other (please complete below)

Other CHESSE Registration Address

Postcode

Country

2. Personal Details - Applicant 1/Director 1/Trustee 1

In what capacity you are completing this section as:

- Individual Director/Secretary Trustee

For joint accounts, statements and notices will only be posted to the first applicant's Postal Address.

Title

Mr Ms Mrs Miss Dr Other (specify)

First Given Name

Other Given Names

Surname

Other names commonly known by (if applicable)

Date of Birth

Gender

Male Female

Level of trading experience

- New to share trading Some experience
 Frequent trader (>3 trades per month)

Are you a sole trader? Yes No

Sole Trader Business Name

Sole Trader ABN – optional (refer Explanatory Note 1)

Address Details

Residential Address (cannot be a PO Box)

Postcode

Country

Postal Address Same as Residential Address

Postcode

Country

Contact Details

Email Address

Tick your preferred contact number

Mobile

Work

Home

Fax

I do not wish to receive marketing and promotional material from Australian Investment Exchange Ltd.

Identification

If you are an existing customer, please supply the following:

Username

Go to Section 2

OR If you are not an existing customer, please provide an original certified photocopy of the following documentation (refer Explanatory Note 2)

Tax File Number or Exemption Code – optional (refer Explanatory Note 1)

Share Trading Account Application Form (Adviser)

Login details for online access (refer Explanatory Note 3)

Username (6 to 16 alphanumeric characters)

Does this client require online access?

Yes – complete temporary login below No – Go to section 3

You **MUST** provide a Temporary Login Password for online access

Temporary Login Password (6 to 16 alphanumeric characters)

Please make a note of the Temporary Login Password you have nominated. You will be asked to change your Password upon your first login.

3. Personal Details - Applicant 2/Director 2/Trustee 2

In what capacity are you completing this Section as:

Individual Applicant Director/Secretary Trustee

For joint accounts, statements and notices will only be posted to the first applicant's Postal Address.

Title

Mr Ms Mrs Miss Dr Other (specify)

First Given Name

Other Given Names

Surname

Other names commonly known by (if applicable)

Date of Birth

DD / MM / YY

Gender

Male Female

Address Details

Residential Address (cannot be a PO Box)

Postcode

Country

Postal Address Same as Residential Address

Postcode

Country

Contact Details

Email Address

Tick your preferred contact number

Mobile

Work

Home

Fax

I do not wish to receive marketing and promotional material from Australian Investment Exchange Ltd.

Identification

If you are an existing customer, please supply the following:

Username

Go to Section 4

OR If you are not an existing customer, please provide an original certified photocopy of the following documentation (refer Explanatory Note 2)

Tax File Number or Exemption Code – optional (refer Explanatory Note 1)

Login details for online access (refer Explanatory Note 3)

Username (6 to 16 alphanumeric characters)

Does this client require online access?

Yes – complete temporary login below No – Go to section 4

You **MUST** provide a Temporary Login Password for online access

Temporary Login Password (6 to 16 alphanumeric characters)

Please make a note of the Temporary Login Password you have nominated. You will be asked to change your Password upon your first login.

Share Trading Account Application Form (Adviser)

4. Personal Details - Applicant 3/Director 3/Trustee 3

In what capacity are you completing this Section as:

Individual Director/Secretary Trustee

For joint accounts, statements and notices will only be posted to the first applicant's Postal Address.

Title

Mr Ms Mrs Miss Dr Other (specify)

First Given Name

Other Given Names

Surname

Other names commonly known by (if applicable)

Date of Birth

DD / MM / YY

Gender

Male Female

Address Details

Residential Address (cannot be a PO Box)

Postcode

Country

Postal Address Same as Residential Address

Postcode

Country

Contact Details

Email Address

YOU MUST PROVIDE AN EMAIL ADDRESS

Tick your preferred contact number

Mobile

Work ()

Home ()

Fax ()

I do not wish to receive marketing and promotional material from Australian Investment Exchange Ltd.

Identification

If you are an existing customer, please supply the following:

Username

Go to Section 5

OR If you are not an existing customer, please provide an original certified photocopy of the following documentation (refer Explanatory Note 2)

Tax File Number or Exemption Code – optional (refer Explanatory Note 1)

Login details for online access (refer Explanatory Note 3)

Username (6 to 16 alphanumeric characters)

Does this client require online access?

Yes – complete temporary login below No – Go to section 5

You **MUST** provide a Temporary Login Password for online access

Temporary Login Password (6 to 16 alphanumeric characters)

Please make a note of the Temporary Login Password you have nominated. You will be asked to change your Password upon your first login.

5. Company Details

Company Name

Australian Company Number (ACN)

Registered Business Name

Industry Type (refer Explanatory Note 4)

Address Details

Registered Address of the Business (cannot be a PO Box)

Postcode

Country

Postal Address Same as Registered Business Address

Postcode

Country

Contact Details

Email Address

Share Trading Account Application Form (Adviser)

Work ()
Fax ()

Is the company operating as a charity? Yes No

If yes, what is the purpose of the charity?

Has the company been established in Australia? Yes No

If no, please complete the next four questions

Country of formation/incorporation/registration

What is the Company's business activity?

What is the purpose of seeking a share trading account in Australia?

Is this foreign company registered with ASIC?

Yes Please provide Australian Registered Body Number (ARBN)

No Attach a copy of original certificate of registration issued by the foreign registration body

Please list the full Names of all Additional Directors of the foreign company or domestic proprietary that are not listed as Applicant 1, 2 or 3. If there are more than 3 Additional Directors, please photocopy this page and attach the completed page to the end of your Application.

Additional Director 1

Title
 Mr Ms Mrs Miss Dr Other (specify) _____

First Given Name

Other Given Names

Surname

Additional Director 2

Title
 Mr Ms Mrs Miss Dr Other (specify) _____

First Given Name

Other Given Names

Surname

Additional Director 3

Title
 Mr Ms Mrs Miss Dr Other (specify) _____

First Given Name

Other Given Names

Surname

ABN and Tax File Number Details

Australian Business Number (ABN) – optional (refer Explanatory Note 1)

Company Tax File Number or Exemption Code – optional
(refer Explanatory Note 1)

Shareholder Details

Company Type Public Proprietary/Private

If Proprietary/Private, please provide details of ALL individuals who are beneficial owners through one or more (direct/indirect) shareholdings of more than 25% of the Company's issued capital.

Shareholder 1

Title
 Mr Ms Mrs Miss Dr Other (specify) _____

First Given Name

Other Given Names

Surname

Residential Address (cannot be a PO Box)

Postcode

Country

Share Trading Account Application Form (Adviser)

Shareholder 2

Title

Mr Ms Mrs Miss Dr Other (specify)

First Given Name

Other Given Names

Surname

Residential Address (cannot be a PO Box)

Postcode

Country

Shareholder 3

Title

Mr Ms Mrs Miss Dr Other (specify)

First Given Name

Other Given Names

Surname

Residential Address (cannot be a PO Box)

Postcode

Country

6. Trust Details

Trust Type

Charity Settlement Family Superannuation
 Minor Other, please specify below

For formal trusts, please provide original certified photocopy of an up-to-date extract of the Trust Deed.

Extract should include the cover page which shows the trustee's name(s) and the trustee's signature(s) with witness signatures and a deed of amendment, if there is any.

Account Designation (refer Explanatory Note 5)

A/C

Please provide an abbreviated version of the full name of the trust (up to 23 characters, including spaces).

The words or reference to "trust", "as trustee for", "trustee", "ATF", "TF" should not be used in Account Designation as it will not be accepted by CHESS.

The following details are not applicable for Minor trust type – please go to Trustee Details

Full Trust Name

If charity, please specify objective of the charity

Has the trust been established in Australia? Yes No

If no, please complete the following three questions

What country was the trust established in?

What is the objective of the trust?

What is the purpose of seeking a share trading account?

Trust Tax File Number or Exemption Code (refer Explanatory Note 1)

- -

Trustee Details

If there are more than 3 trustees, please provide names and addresses for those additional trustees.

If there are more than 3 additional trustees please photocopy this page, complete and attach to your application.

Share Trading Account Application Form (Adviser)

Additional Trustee 1

Title

Mr Ms Mrs Miss Dr Other (specify)

First Given Name

Other Given Names

Surname

Residential Address (cannot be a PO Box)

Postcode

Country

Additional Trustee 2

Title

Mr Ms Mrs Miss Dr Other (specify)

First Given Name

Other Given Names

Surname

Residential Address (cannot be a PO Box)

Postcode

Country

Additional Trustee 3

Title

Mr Ms Mrs Miss Dr Other (specify)

First Given Name

Other Given Names

Surname

Residential Address (cannot be a PO Box)

Postcode

Country

Beneficiary Details

Please provide the full name of each beneficiary OR type of membership class (e.g. unit holder, family member). If there are more than three beneficiaries/membership classes please photocopy this page, complete and attach to your application.

Beneficiary 1

Title

Mr Ms Mrs Miss Dr Other (specify)

First Given Name

Other Given Names

Surname

Residential Address (cannot be a PO Box)

Postcode

Country

Share Trading Account Application Form (Adviser)

Beneficiary 2

Title

Mr Ms Mrs Miss Dr Other (specify)

First Given Name

Other Given Names

Surname

Residential Address (cannot be a PO Box)

Postcode

Country

Beneficiary 3

Title

Mr Ms Mrs Miss Dr Other (specify)

First Given Name

Other Given Names

Surname

Residential Address (cannot be a PO Box)

Postcode

Country

OR

Membership classes

7. Settlement Options

Please complete either the nominated bank account details or third party Margin Lender details if you wish to settle out of an existing Margin Loan.

Nominated bank account

You must provide a nominated bank account to settle your share trades and/or other subscriptions on your account. The nominated bank account must be in the same name(s) provided in this application.

Account Name

BSB

Account Number

Bank

Branch

Margin Lending Details

Complete only if you intend to settle your share trading transactions through an existing margin loan.

Margin Lender (M/L)

M/L Account Number

M/L Account Name

M/L Contact Person (if known)

M/L Contact Number (if known)

Share Trading Account Application Form (Adviser)

8. CHESS Sponsorship Request

Your trading account will be CHESS sponsored by the Participant unless you have provided the details of a Third Party Margin Lending account in Section 7 of this application form.

Important: The Name and registration detail that appears on your current registered holdings MUST be the same name that appears on your Trading Account. If this requirement is not met any request to transfer holdings may be delayed or rejected.

Please tick the option(s) you are requesting for:

ISSUER to BROKER SPONSORSHIP Transfer my/our Issuer Participant Sponsored Holdings to The Participant.
(Please attach copies of all relevant holdings Statements)

Shareholder Reference Number (SRN)

ASX Code or Security Name	Qty
---------------------------	-----

<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>
---	---

Shareholder Reference Number (SRN)

ASX Code or Security Name	Qty
---------------------------	-----

<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>
---	---

Shareholder Reference Number (SRN)

ASX Code or Security Name	Qty
---------------------------	-----

<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>
---	---

SRN

ASX code	Qty
----------	-----

<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>
---	---

I/We authorise The Participant to convert the above listed Holding(s) into my/our Share Trading Account.

BROKER to BROKER TRANSFER You may select to either transfer all or part of your existing broker holdings.

Existing Broker Name:

PID:

HIN:

A/C Number:

New Broker Name:

PID:

a) Transfer ALL Broker Sponsored Holdings to The Participant. Yes No

Note: We will transfer your Holder Identification Number (HIN)

OR

b) Transfer ALL Broker Sponsored Holdings but NOT my/our HIN to The Participant. Yes No

OR

c) Transfer the following existing Broker Sponsored Holdings to The Participant. Yes No

Please list stock that you would like to transfer from your Existing Broker. Attach a separate sheet if more space is required.

ASX Code or Security Name	Qty
---------------------------	-----

<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>
---	---

<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>
---	---

<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>
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<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>
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<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>
---	---

<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>
---	---

NB: It may be necessary to re-lodge your standing instructions with the share registries after some transfers. These include tax file numbers, banking details and DRP or dividend instructions.

Share Trading Account Application Form (Adviser)

9. Declaration & Signature(s)

All Account Holders MUST sign this declaration – photocopied and faxed signatures are not accepted

I/we the undersigned (being the applicant(s)):

Declare that the information I/we provided to you in my/our online application (and summarised in the Summary of Your Information section of this Application) is complete and correct and acknowledge that it will form part of the contract;

Acknowledge that:

- (a) the name of individual persons given in this application are true and correct and that the law prohibits the use of false names, as well as the giving or use of false documents in connection with an identification procedure;
- (b) I/we have been given the opportunity during the online application process to indicate whether I/we do not wish to receive promotional material from “The Participant”. Consent to the uses and disclosures of my/our personal information set out in the Privacy sections of the Terms and Conditions.

Declaration to Terms and Conditions

1. I/We, the Client(s) acknowledge that we have been supplied with, and read, the current Australian Investment Exchange Ltd (“The Participant”) Financial Services Guide prior to receiving any financial service from “The Participant”.
2. I/We, the Client(s), agree to be sponsored by “The Participant” under the terms of the Participant Sponsorship Agreement. I/ We have read and agree to accept and abide by the terms of the Agreement, and have been supplied with, read and understood the written explanation of the implications of those terms.
3. I/We, the Client(s), authorise the Adviser to open a Share Trading Account with “The Participant” and to give instruction to “The Participant” on the Account on my/our behalf.
4. I/We, the Client(s), acknowledge that as a result of my/our Share Trading Account managed by my Adviser with “The Participant” having Straight Through Processing (an automated processing of a securities trade through the Stock Exchange Automated Trading System) it is possible that any orders on my/our Account may be matched with another order also placed by “The Participant”. This “crossing” may be with an order by another client of “The Participant” or by “The Participant” itself.
5. I/We authorise and request Australian Investment Exchange Ltd (APCA User ID no. 093993 – Debit and 093 992 - Credit) to arrange for funds to be debited from/credited to my/our accounts as specified in this Application through the Bulk Electronic Clearing System (BECS). I/We acknowledge that this authority is governed by and will remain in force in accordance with the Direct Debit/ Credit Request Service Agreement sections of the Terms and Conditions governing each product I/we are applying for.
6. I/We, the Client(s), acknowledge and agree that all confirmations are to be sent electronically to my/our email and where the confirmation is posted, that a charge will apply.
7. I/We authorise “The Participant” to accept instructions on my/our behalf from my/our Adviser and confirm that my/our Adviser has the power to do the following in my/our name and on my/our behalf from time to time:
 - (a) to acquire, buy, deal with and dispose of any securities
 - (b) to pay or receive payment for any securities transactions and related expenses and to give a good receipt and discharge for the securities, proceeds and other monies to execute all necessary or proper contracts and other documents for the custody, dealing and transfer of securities and related matters
 - (c) to exercise all rights and privileges and perform all duties and obligations which may now or in the future apply to me/us as a holder of securities

(d) to execute all necessary or proper contracts and other documents for the custody, dealing and transfer of financial products and related matters

8. I/We accept that my/our Adviser has access to all information relating to transactions undertaken in relation to dealings with “The Participant”.
9. I/We acknowledge that my/our Adviser may delegate the authorisation in clause 7 above to persons nominated by the Licence Holder from time to time.
10. I/We, the Client(s), declare that I/We have the legal capacity to make these declarations, accept the conditions and enter into the agreements referred to in points 1, 2, 3, 4, 5, 6, 7, 8 and 9 above.

For Trusts,

I/we:

- a) Warrant that the trust deed/instrument authorises the opening and operation of the account as contemplated by this Application, and
- b) Warrant that authority has been given by signature of the trustee(s), or where the trustee is a company, by resolution passed at a legally constituted meeting of director(s) of the company for the opening and operation of the account/s in the name of and on the terms and conditions and in the manner set out in this Application.

Signature of Applicant 1/Director 1/Trustee 1

X

Date:

DD / MM / YY

Signature of Applicant 2/Director 2/Trustee 2

X

Date:

DD / MM / YY

Signature of Applicant 3/Director 3/Trustee 3

X

Date:

DD / MM / YY

Share Trading Account Application Form (Adviser)

Adviser Declaration

1. As the adviser, I agree that the above client has been provided with and read, "The Participant's" Financial Services Guide prior to receiving any financial service from "The Participant".
2. As the adviser, I agree that I have performed the necessary client identification check required by law, the ASX and any other relevant authority and that I have sufficient evidence of this check which will be kept for seven years.
3. As the adviser, I acknowledge that "The Participant" relies upon us to perform the necessary ID check in order to satisfy their requirements and that "The Participant" can request copies of identification at any time. I acknowledge that the process for providing assurance of client identification to "The Participant" may change, at "The Participant's" discretion, at any time.
4. As the adviser, I acknowledge that I will send a copy of all documents used to verify my client's details to "The Participant" together with the application form. I acknowledge that the copy must be made from an original document and include a statement "This is a true copy of the original document" (or similar wording) and my signature.

For Adviser, sign here

Adviser Name

Signature of Adviser

Date:

DD / MM / YY

INTERNAL USE ONLY

Trading A/C Number:

HIN:

Date:

Initials:

Please post your completed Application Form to us at:

Core Equity Services
PO BOX 7428
Cloisters Square
Perth WA 6850

Explanatory Notes

1. AUSTRALIAN BUSINESS NUMBER (ABN), TAX FILE NUMBER (TFN) OR EXEMPTION CODE

Providing your ABN, TFN or Exemption Code is not compulsory, but if you do not, tax may be taken out of your interest at the highest marginal tax rate plus Medicare levy.

TFN and Trusts

Formal trust - established as a legal entity under a formal trust deed and has a TFN. Please quote the TFN of the formal trust.

Informal trust - no formal arrangements in place e.g. minor, and there is no requirement for you to furnish a Trust income tax return to the Australian Taxation Office.

Please provide the Tax File Number(s) of the Trustee(s).

2. IDENTIFICATION

Primary Photographic Identification (Sufficient ID by itself)

- Australian Passport issued by the Commonwealth, which has not been expired for 2 years or more
- Drivers licence issued in Australia or New Zealand that contains a photograph of the person in whose name the document is issued
- Proof of Age Cards – issued under a law of a state or territory (a NSW Photo Card as of 13 December 2008) that contains a photograph of the person in whose name the document is issued
- NSW Photo Card and Birth Card (not currently available in other states)
- International Passport or similar document issued for the purpose of international travel which;
 - contains a photograph and signature of the person in whose name the document is issued;
 - is issued by a foreign government, the United Nations (UN) or an agency of the UN; and,
- A national identity card issued for the purpose of identity
 - contains a photograph and signature of the person in whose name the document is issued;
 - Issued by a foreign government, the United Nations (UN) or an agency of the UN; and,
- Firearms licence issued under law (All States)
- Defence Force Identity Card (other than where the card is issued to spouses of defence force personnel)

If written in language not understood by the person carrying out the verification, accompanied by an English translation from an accredited translator.

Primary Non Photographic Identification

- Birth certificate or birth extract issued by an Australian State or Territory
- Birth certificate issued by a foreign government, the United Nations or an agency of the UN
- Citizenship certificate issued by the Commonwealth
- Citizenship certificate issued by a foreign government
- A pension card or health care card issued by Centrelink that entitles the person whose name the card is issued, to financial benefits

If written in language not understood by the person carrying out the verification, accompanied by an English translation from an accredited translator.

Share Trading Account Application Form (Adviser)

Secondary Identification

- A notice that was issued to an individual by a the Commonwealth, state or Territory within the preceding 12 months which
 - Contains the name of the person and his or her residential address: and,
 - Records the provision of financial benefits to the individual under a law of the Commonwealth, State or Territory
- Taxation Notice issued to individual within the preceding 12 months which contains the name of the individual and his or her residential address and records a debt payable to or by the individual by or to the Commonwealth under a Commonwealth law relating to taxation
- A notice that was issued by a local government body or utilities provider e.g. gas, electricity, water, rates within the preceding 3 months that:
 - Contains the name of the person and his or her residential address: and,
 - Records the provision of services by the local government body or utilities provider to that address or to that person
- Drivers licence issued overseas
- Security Guard / Crowd Safety Officer identity card

How to certify documents

Each certified photocopy(s) must include the statement (or similar wording): **“I certify that this is a true copy of the original document.”**

The certifier must include their **full name, original signature** (photocopied signatures are not accepted) and **qualification or occupation** which makes that eligible.

Please attach the original certified copy(ies) of the document(s) to your application. DO NOT send original documents, or copies of certified copies.

The list of eligible persons who are allowed to certify documents

- A barrister or a solicitor;
- A judge or a magistrate;
- A chief executive officer of a Commonwealth court;
- A registrar/deputy registrar of a court;
- A Justice of the Peace;
- A public notary;
- A police officer;
- An agent of Australia Post who is in charge of an office supplying postal services to the public;
- A permanent employee of Australia Post with 2 or more years of continuous service who is employed in an office supplying postal services to the public;
- An Australian diplomatic or consular officer;
- An officer with 2 or more continuous years of service with one or more financial institutions;
- A finance company officer with 2 or more continuous years of service with one or more finance companies;
- An officer or authorised representative that holds an Australian financial services licence and has 2 or more continuous years of service with one or more licences;
- A member of:
 - the Institute of Chartered Accountants in Australia
 - CPA Australia
 - the National Institute of Accountants;with 2 or more years of continuous membership.

3. USERNAME

If your nominated Username is already in use, we will nominate a similar alternative on your behalf. You will receive confirmation of your Username with your Welcome Letter or Email.

4. INDUSTRY TYPE

Please select one of these options:

- Accommodation, Cafes and Restaurants
- Agriculture, Forestry and Fishing
- Communications
- Construction
- Cultural and Recreational Services
- Education
- Electricity, Gas and Water Supply
- Finance and Insurance
- Government Administration and Defence
- Health and Community Services
- Manufacturing
- Mining
- Personal and Other Services
- Property and Business Services
- Retail Trade
- Transport and Storage
- Wholesale Trade
- Other

5. ACCOUNT DESIGNATION

Account Designation is used when you wish to trade under the name of a Superannuation Fund, Family Trust, Minor or Deceased Estate.

Examples include: Brown S/F A/C, Brown Family A/C, Louise Brown (minor)

Share Trading Account Terms and Conditions (Adviser)

Share trading through Core Equity Services is a service provided by Australian Investment Exchange Ltd ("The Participant") ABN 71 076 515 930 AFSL 241400, a Participant of the ASX Group.

DIRECT DEBIT REQUEST SERVICE AGREEMENT

1. The participant will advise you, in writing or electronically, in the form of a Confirmation, the drawing details that includes the settlement amount due and the settlement date.
2. Where the settlement date falls on a non-business day, the Participant will draw the amount on the following business day.
3. The participant reserves the right to charge a dishonour fee if any debit item already debited from your nominated account is returned as unpaid by the Financial Institution.
4. The participant will keep your information about your nominated account at the financial institution private and confidential unless this information is required by us to investigate a claim made on it relating to an alleged incorrect or wrongful debt, or as otherwise required by law.
5. In the event of a debit returned unpaid, the Participant may attempt a redraw on your nominated account.
6. The participant will advise you 14 days in advance of any changes to the Direct Debit arrangements.
7. If you provide an incorrect bank account number, you may incur a fee if the Participant has processed a transaction to that account.

Your rights

8. You may terminate the Direct Debit arrangement of your trades with us, however, this termination must be in writing.
9. Where you consider the debit is incorrect in either the due date or amount or both, you should raise the matter with . The Participant .

Your responsibilities

10. It is your responsibility:
 - to check with the Financial Institution where your account is held before completing the Direct Debit Request (DDR) as Direct Debiting through Bulk Electronic Clearing System (BECS) is not allowed on the full range of accounts. You should also complete your account details, including Bank State Branch (BSB) number, directly off a recent account statement from your Financial Institution;
 - to ensure sufficient cleared funds are available in the nominated account to meet the debit on the due settlement date of your transactions executed by CommSec;
 - to ensure that the authorisation to debit the nominated account is in the same name as the account signing the instruction held by the financial institution where the account is held;
 - to advise us if the account you have nominated to debit is transferred or closed;
 - to ensure that suitable arrangements are made if the Direct Debit is cancelled;
 - by yourself;
 - by your nominated Financial Institution; or
 - for any other reason.

TERMS AND CONDITIONS OF PARTICIPANT SPONSORSHIP AGREEMENT

NOTICE: Before you sign, please contact a Client Services Officer of the Participant if you require an explanation of the effect of this Sponsorship Agreement.

RECITALS

- A. ASX Settlement and Transfer Corporation Pty Limited (ASTC) in its capacity as the approved Clearing and Settlement Facility under the Corporations Act, operates the Clearing House Electronic Subregister System ("CHESS").
- B. CHESS allows Clients to hold Financial Products in an uncertificated form in holdings sponsored by the Participant.
- C. The Client ("the Participant Sponsored Holder") agrees to be sponsored by the Participant.

AGREEMENT

1.0 DEFINITIONS AND INTERPRETATIONS

1.1 In this Agreement,

"ACH" means Australian Clearing House Pty Ltd and its successors;

"ASTC" means the ASX Settlement and Transfer Corporation Pty Limited ABN 49 008 504 532 as approved as the Clearing and Settlement Facility under the Corporations Act to operate CHESS;

"CHESS Holding" means an uncertificated holding of Financial Products on a sub-register for that class of Financial Products maintained by ASTC;

"HIN" means Holder Identification Number;

"The Participant", "we", "us" or "our" means Australian Investment Exchange Ltd ABN 71 076 515 930 AFSL 241400 of Level 7, 141 St Georges Terrace, Perth, Western Australia

"Rules" means the ASTC Settlement Rules;

"Sponsored Holding" means a CHESS Holding of the Participant Sponsored Holder which is identified by a HIN which is, at the request of the Participant Sponsored Holder, notified in writing by the Participant to the Participant Sponsored Holder after this Agreement commences; and

"Withdrawal Instructions" means instructions for withdrawal of Financial Products from a Sponsored Holding;

1.2 Any term used in this Agreement which is defined in the ASTC Settlement Rules has the same meaning given to them in the ASTC Settlement Rules.

1.3 Words expressed in one gender include all genders; and Words expressed in the singular include the plural and vice versa.

1.4 This Agreement is intended to comply with the ASTC Settlement Rules and shall be read and construed accordingly. (A copy of any further definitions may be obtained from the Participant by request).

2.0 APPOINTMENT

2.1 The Participant Sponsored Holder appoints the Participant to provide, and the Participant agrees to provide, transfer and settlement services as agent for the Participant Sponsored Holder in relation to Sponsored Holdings on the terms and conditions contained in this Agreement.

3.0 PARTICIPANT RIGHTS

3.1 Where the Participant Sponsored Holder authorises the Participant to buy Financial Products, the Participant Sponsored Holder will pay for those Financial Products within three Business Days of the date of purchase. The Participant may require payment or a deposit before it executes the Participant Sponsored Holder's instructions to buy Financial Products.

3.2 Subject to Clause 3.3, the Participant is not obliged to transfer Financial Products into the Participant Sponsored Holding, where payment for those Financial Products has not been received, until payment is received.

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3.3 Where a contract for the purchase of Financial Products remains unpaid, after the Participant has made a demand of the Participant Sponsored Holder to pay for the Financial Products, the Participant may sell those Financial Products that are the subject of that contract at the Participant Sponsored Holder's risk and expense and that expense shall include brokerage, and stamp duty and any other costs incurred by the Participant.

3.4 Where the Participant claims that an amount lawfully owed to it has not been paid by the Participant Sponsored Holder, the Participant has the right to refuse to comply with the Participant Sponsored Holder's Withdrawal Instructions, but only to the extent necessary to retain Financial Products of the minimum value held in a Participant Sponsored Holding (where the minimum value is equal to 120% of the current market value of the amount claimed).

4.0 PARTICIPANT SPONSORED HOLDER'S RIGHTS

- 4.1 Subject to Clauses 3.3 and 3.4, the Participant will initiate any Transfer, Conversion or other action necessary to give effect to Withdrawal Instructions within two (2) Business Days of the date of the receipt of the Withdrawal Instructions.
- 4.2 The Participant will not initiate any Transfer or Conversion into or out of the Participant Sponsored Holding without the express authority of the Participant Sponsored Holder.
- 4.3 The Participant is an Australian Financial Services Licensee and therefore regulated by Australian Securities and Investment Commission (ASIC) and subject to the regulations imposed by ASIC. In addition, as a Participant of the ASX Group, the Participant is bound by the ASX Market Rules, ASTC Settlement Rules, ACH Clearing Rules and associated procedures. The Participant Sponsored Holder can obtain further information as to the status of the Participant from either ASIC, ASX, ASTC or ACH.
- 4.4 The Participant Sponsored Holder may lodge a complaint against the Participant with either the ASX, ASTC, ACH or the Financial Ombudsman Service as a result of any contravention of this agreement. Any claim for compensation can be lodged with the National Guarantee Fund which operates as a compensation arrangement for investors who may suffer loss due to the defalcation by Market Participants in relation to equities and warrants and exchange traded options.

5.0 SUPPLY OF INFORMATION

5.1 The Participant Sponsored Holder shall supply all information and supporting documentation that is reasonably required to permit the Participant to comply with the registration requirements, as are in force from time to time, under the ASTC Settlement Rules.

6.0 EXCHANGE TRADED OPTIONS, PLEDGING AND SUBPOSITIONS

- 6.1 Where the Participant Sponsored Holder arranges with ACH to lodge Financial Products in a Participant Sponsored Holding as cover for written positions in the Australian Options Market, and informs the Participant of the arrangement, the Participant Sponsored Holder authorises the Participant to take whatever action is reasonably required by ACH in accordance with the Rules to give effect to that arrangement.
- 6.2 Where the Participant Sponsored Holder arranges with any person to give a charge or any other interest in the Financial Products in a Participant Sponsored Holding, the Participant Sponsored Holder authorises the Participant to take whatever action is reasonably required by the person in accordance with the Rules to give effect to that arrangement.
- 6.3 The Participant Sponsored Holder acknowledges that where, in accordance with this Agreement and/or the Participant Sponsored Holder's instructions, the Participant initiates any action which has the effect of creating a sub-position over Financial Products in the Participant Sponsored Holding, the right of the Participant Sponsored Holder to transfer, convert or otherwise deal with those Financial Products is restricted in accordance with the terms of the Rules relating to sub-positions.
- 6.4 Nothing in this Agreement operates to override any interest of ACH in the Financial Products.

7.0 FEES

7.1 The Participant Sponsored Holder shall pay all Brokerage fees and associated transactional costs within the period prescribed by the Participant.

8.0 NOTIFICATIONS AND ACKNOWLEDGEMENTS

- 8.1 The Participant Sponsored Holder acknowledges that if the Participant is not a Participating Organisation of ASX, neither ASX nor any Related Party of ASX has any responsibility for supervising or regulating the relationship between the Participant Sponsored Holder and the Participant, other than in relation to the Rules relating to Sponsorship Agreements.
- 8.2 The Participant Sponsored Holder acknowledges that if a Transfer is taken to be effected by the Participant under Section 9 of the ASTC Settlement Rules and the Source Holding for the Transfer is a Participant Sponsored Holding under the Sponsorship Agreement, then:
- (a) the Participant Sponsored Holder may not assert or claim against ASTC or the relevant Issuer that the Transfer was not effected by the Sponsoring Participant or that the Sponsoring Participant was not authorised by the Participant Sponsored Holder to effect the Transfer; and
- (b) unless the Transfer is also taken to have been effected by a Participating Organisation of ASX or a Clearing Participant of ACH, the Participant Sponsored Holder has no claim arising out of the Transfer against the National Guarantee Fund under Part 7.5, Division 4 of the Corporations Regulations.
- 8.3 In the event that the Participant breaches any of the provisions of this Agreement, the Participant Sponsored Holder may refer that breach to any regulatory authority, including ASTC.
- 8.4 In the event that the Participant is suspended from CHES participation, subject to the assertion of an interest in Financial Products controlled by the Participant, by the liquidator, receiver, administrator or trustee of that Participant:
- (a) the Participant Sponsored Holder has the right, within twenty (20) Business Days, to give notice to SCH requesting that any Participant Sponsored Holdings be removed either:
- (i) from the CHES Subregister; or
- (ii) from the control of the suspended Participant to the control of another Participant with whom they have concluded a valid Sponsorship Agreement pursuant to Rule 12.19.10; or
- (b) where the Participant Sponsored Holder does not give notice under Clause 8.4.(a), ASTC may effect a change of Controlling Participant under Rule 12.19.11 and the Participant Sponsored Holder will be deemed to have entered into a new Sponsorship Agreement with the substitute Participant on the same terms as the existing Sponsorship Agreement. Where a Participant Sponsored Holder is deemed to have entered into a Sponsorship Agreement, the new Participant must enter into a Sponsorship Agreement with the Participant Sponsored Holder within ten (10) Business Days of the change of Controlling Participant.
- 8.5 The Participant Sponsored Holder acknowledges that before the Participant Sponsored Holder executed the Agreement, the Participant provided the Participant Sponsored Holder with an explanation of the effect of the Sponsorship Agreement to the Participant Sponsored Holder and the Participant Sponsored Holder understands the effect of the Agreement.
- 8.6 The Participant Sponsored Holder acknowledges that in the event of the death or bankruptcy of the Participant Sponsored Holder, a Holder Record Lock will be applied to all Participant Sponsored Holdings in accordance with the ASTC Market Rules, unless the Participant Sponsored Holder's legally appointed representative or trustee elects to remove the Participant Sponsored Holdings from the CHES Subregister.
- 8.7 The Participant Sponsored Holder acknowledges that in the event of the death of the Participant Sponsored Holder, this Sponsorship Agreement

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is deemed to remain in operation, in respect of the legally appointed representative authorised to administer the Participant Sponsored Holder's estate, subject to the consent of the legally appointed representative, for a period of up to three calendar months after the removal of a Holder Record Lock applied pursuant to Clause 8.6.

FOR JOINT HOLDINGS ONLY

- 8.8 The Participant Sponsored Holder acknowledges that in the event of the death of one of the Holders, the Participant shall transfer all Holdings under the joint Holder Record into new Holdings under a new Holder Record, and that this Sponsorship Agreement remains valid for the new Holdings under the new Holder Record.
- 8.9 The Participant Sponsored Holder acknowledges that in the event of the bankruptcy of one of the Holders the Participant will:
- (a) unless the legally appointed representative of the bankrupt Participant Sponsored Holder elects to remove the Participant Sponsored Holdings from the CHES Subregister, establish a new Holder Record in the name of the bankrupt Participant Sponsored Holder, transfer the interest of the bankrupt Participant Sponsored Holder into new Holdings under the new Holder Record and request that ASTC apply a Holder Record Lock to all Holdings under that Holder Record; and
 - (b) establish a new Holder Record in the name(s) of the remaining Participant Sponsored Holder(s) and Transfer the interest of the remaining Participant Sponsored Holder(s) into new Holdings under the new Holder Record.

9.0 CHANGE OF CONTROLLING PARTICIPANT

- 9.1 If the Participant Sponsored Holder receives a Participant Change Notice from the Controlling Participant of the Participant Sponsored Holding and the Participant Change Notice was received at least 20 Business Days prior to the date proposed in the Participant Change Notice for the change of Controlling Participant, the Participant Sponsored Holder is under no obligation to agree to the change of Controlling Participant, and may choose to do any of the things set out in clauses 9.2 or 9.3.
- 9.2 The Participant Sponsored Holder may choose to terminate the Agreement by giving Withdrawal Instructions under the ASTC Market Rules to the Controlling Participant, indicating whether the Participant Sponsored Holder wishes to:
- (a) transfer its Participant Sponsored Holding to another Controlling Participant; or
 - (b) transfer its Participant Sponsored Holding to one or more Issuer Sponsored Holdings.
- 9.3 If the Participant Sponsored Holder does not take any action to terminate the agreement in accordance with 9.2 above, and does not give any other instructions to the Controlling Participant which would indicate that the Participant Sponsored Holder does not agree to the change of Controlling Participant then, on the Effective Date, the Agreement will have been taken to be novated to the New Controlling Participant and will be binding on all parties as if, on the Effective Date:
- (a) the New Controlling Participant is a party to the Agreement in substitution for the Existing Controlling Participant;
 - (b) any rights of the Existing Controlling Participant are transferred to the new Controlling Participant; and
 - (c) the Existing Controlling Participant is released by the Participant Sponsored Holder from any obligations arising on or after the Effective Date.
- 9.4 The novation in clause 9.3 will not take effect until the Participant Sponsored Holder has received a notice from the New Controlling Participant confirming that the New Controlling Participant consents to acting as the Controlling Participant for the Participant Sponsored Holder. The Effective Date may as a result be later than the date set out in the Participant Change Notice.

- 9.5 The Participant Sponsored Holder will be taken to have consented to the events referred to in clause 9.4 by the doing of any act which is consistent with the novation of the Agreement to the New Controlling Participant (for example by giving an instruction to the New Controlling Participant), on or after the Effective Date, and such consent will be taken to be given as of the Effective Date.
- 9.6 The Agreement continues for the benefit of the Existing Controlling Participant in respect of any rights and obligations accruing before the Effective Date and, to the extent that any law or provision of any agreement makes the novation in clause 9.3 not binding or effective on the Effective Date, then the Agreement will continue for the benefit of the Existing Controlling Participant until such time as the novation is effective, and the Existing Controlling Participant will hold the benefit of the Agreement on trust for the New Controlling Participant.
- 9.7 Nothing in this clause 9 will prevent the completion of CHES transactions by the Existing Controlling Participant where the obligation to complete those transactions arises before the Effective Date and the Agreement will continue to apply to the completion of those transactions, notwithstanding the novation of the Agreement to the New Controlling Participant under this clause 9.

10.0 CLAIMS FOR COMPENSATION

- 10.1 As a Participant of the ASX Group any claim for compensation can be lodged with the National Guarantee Fund which operates as a compensation arrangement for investors who may suffer loss due to the defalcation by Participants in relation to equities and warrants and exchange traded options.
- 10.2 If the Participant breaches a provision of this Agreement and the Participant Sponsored Holder makes a claim for compensation pursuant to that breach, the ability of the Participant to satisfy that claim will depend on the financial circumstances of the Participant.
- 10.3 If a breach by a Participant of a provision of this Agreement falls within the circumstances specified under Part 7.5, Division 4 of the Corporations Regulations, a Participant Sponsored Holder may make a claim on the National Guarantee Fund for compensation. (For more information on the circumstances in which a Participant Sponsored Holder may make a claim on the National Guarantee Fund or for information on the National Guarantee Fund generally, contact the Securities Exchange Guarantee Corporation Limited).
- 10.4 The Participant Sponsored Holder acknowledges that the Participant shall not be required to provide an executed copy of this Agreement to the Participant Sponsored Holder unless requested by the Participant Sponsored Holder.

11.0 TERMINATION

- 11.1 Subject to the ASTC Settlement Rules, this Agreement will be terminated upon the occurrence of any of the following events:
- (a) by notice in writing from either the Participant Sponsored Holder or the Participant to the other party to this Agreement;
 - (b) upon the Participant becoming insolvent; or
 - (c) upon the termination or suspension of the Participant.
 - (d) upon the giving of Withdrawal Instructions by a Participant Sponsored Holder to a Controlling Participant in accordance with Rule 7.1.10(c).
- 11.2 Termination under Clause 11.1 (a) will be effective upon receipt of Notice by the other party to the Agreement.

12.0 VARIATION

- 12.1 Should any of the provisions in this Agreement be inconsistent with the provisions in the ASTC Settlement Rules, the Participant shall, by giving the Participant Sponsored Holder not less than seven (7) Business Days written Notice, vary the Agreement to the extent to which, in the Participant's reasonable opinion, it is necessary to remove any inconsistency.